



*DM*

2132/18

PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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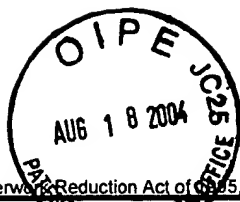
<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/545,589
	Filing Date	April 7, 2000
	First Named Inventor	Scott A. MOSKOWITZ et al.
	Art Unit	2132
	Examiner Name	Benjamin E. Lanier
Total Number of Pages in This Submission	Attorney Docket Number	066603.0123(80410.0006)

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	PTO/SB08A (5 pages) with 61 references.
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	Scott A. Moskowitz	
Signature	<i>Scott Moskowitz</i>	
Date	August 17, 2004	

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 180.00

## Complete if Known

Application Number	09/545,589
Filing Date	April 7, 2000
First Named Inventor	Scott A. MOSKOWITZ
Examiner Name	Benjamin E. Lanier
Art Unit	2132
Attorney Docket No.	066603.0123 (80410.0006)

## METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number  
Deposit Account Name

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☐ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)				(\$ ) 0	

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims  - 20\*\* =  X  =   
Independent Claims  - 3\*\* =  X  =   
Multiple Dependent  =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$ ) 0	

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 180.00

## SUBMITTED BY

Name (Print/Type)	Scott A. Moskowitz	Registration No. (Attorney/Agent)		Telephone	305-956-9041
Signature		Date	August 17, 2004		

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U.S. Patent No. 6,205,249, entitled "Multiple Transform Utilization and Application for Secure Digital Watermarking"

U.S. Patent No. 6,598,162 (issued 7/22/03), entitled "Method for Combining Transfer Function with Predetermined Key Creation"

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists. This Information Disclosure Statement is in compliance with 37 C.F.R. § 1.98 and the Examiner is respectfully requested to consider the listed documents and information.

Respectfully submitted,

Date: August 17, 2004

By:

  
\_\_\_\_\_  
Scott A. Moskowitz



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 09/545,589 Confirmation No.9928  
Applicant : Scott A. Moskowitz  
Filed : April 7, 2000  
TC/A.U. : 2132  
Examiner : Benjamin E. Lanier

Docket No. : 066603.0123 (80410.0006)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Applicant submits copies of the references listed on the attached PTO 1449 Form for consideration and request that the U.S. Patent and Trademark Office make them of record in this application.

Applicants state the following:

☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement; or

☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of Applicant(s) no item of information contained in this

Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

☐ In accordance with 37 C.F.R. § 1.97(b), this Information Disclosure Statement is believed to be submitted prior to issuance of a first Office Action and/or within three months of the filing date of the application. It is respectfully submitted that no fee is required for consideration of this information.

☒ This Information Disclosure Statement is being submitted after the mailing of a non-final Office Action, but is believed to be prior to a final Office Action or a Notice of Allowance. Pursuant to 37 C.F.R. § 1.97(c), payment in the amount of \$180.00 as set forth in 37 C.F.R. § 1.17(p) is enclosed.

While the information and references disclosed in this Information Disclosure Statement are submitted pursuant to 37 C.F.R. § 1.56, this submission is not intended to constitute an admission that any patent, publication or other information referred to is "prior art" to this invention. Applicants reserve the right to contest the "prior art" status of any information submitted or asserted against the application.

Additionally, Applicant wishes to inform the Examiner of the existence of the following co-pending U.S. patents and patent applications that share a common inventor with the present application:

U.S. Patent Application No. 08/999,766, filed July 23, 1997, entitled "Steganographic Method and Device";

EPO Application No. 96919405.9, entitled "Steganographic Method and Device";

U.S. Patent Application No. 09/456,319, filed December 8, 1999, entitled "Transform Implementation of Digital Watermarks";

U.S. Patent Application No. 08/674,726, filed July 2, 1996, entitled "Exchange Mechanisms for Digital Information Packages"

- with Bandwidth Securitization, Multichannel Digital Watermarks, and Key Management”;
- U.S. Patent Application No. 09/545,589, filed April 7, 2000, entitled “Method and System for Digital Watermarking”;
- U.S. Patent Application No. 09/046,627, filed March 24, 1998, entitled “Method for Combining Transfer Function with Predetermined Key Creation”;
- U.S. Patent Application No. 09/053,628, filed April 2, 1998, entitled “Multiple Transform Utilization and Application for Secure Digital Watermarking”;
- U.S. Patent Application No. 09/644,098, filed August 23, 2000, entitled “Multiple Transform Utilization and Application for Secure Digital Watermarking”;
- Jap. App. No.2000-542907, entitled “Multiple Transform Utilization and Application for Secure Digital Watermarking”;
- U.S. Patent Application No. 09/767,733, filed January 24, 2001, entitled “Multiple Transform Utilization and Application for Secure Digital Watermarking”;
- U.S. Patent Application No. 10/417,231, filed April 17, 2003, entitled “Methods, Systems And Devices For Packet Watermarking And Efficient Provisioning Of Bandwidth”
- U.S. Patent Application 10/602,777, filed June 25, 2003, entitled “Method for Combining Transfer Function with Predetermined Key Creation”
- U.S. Patent Application No. 10/369,344, filed February 18, 2003, entitled “Optimization Methods for the Insertion, Protection, and Detection of Digital Watermarks in Digital Data”;
- U.S. Patent Application No. 09/789,711, filed Feb. 22, 2001, entitled “Optimization Methods for the Insertion, Protection, and Detection...”;
- U.S. Patent Application No.09,594,719, filed June 16, 2000, entitled “Utilizing Data Reduction in Steganographic and Cryptographic Systems”;
- U.S. Application No 09/731,040, filed December 7, 2000, entitled “Systems, Methods And Devices For Trusted Transactions”;
- U.S. Patent Application No. 10/049,101, filed Feb. 8, 2002, entitled “A Secure Personal Content Server” (which claims priority to International Application No. PCT/US00/21189, filed August 4, 2000, which claims priority to U.S. Patent Application No. 60/147,134, filed August 4, 1999, and to U.S. Patent Application No. 60/213,489, filed June 23, 2000);

- PCT Application No. PCT/US00/21189, filed August 4, 2000, entitled, "A Secure Personal Content Server";
- U.S. Patent Application No. 09/657,181, filed 09/07/00, entitled "Method And Device For Monitoring And Analyzing Signals"
- U.S. Patent Application No. 10/805,484, filed 03/22/04, entitled "Method And Device For Monitoring And Analyzing Signals"(which claims priority to U.S. Patent Application No. 09/671,739, filed 09/29/00, which is a CIP of U.S. Patent Application No. 09/657,181);
- U.S. Patent Application No. 09/956,262, filed 09/20/01, entitled "Improved Security Based on Subliminal and Supraliminal Channels For Data Objects"
- U.S. Patent Application Ser. No. 09/731,039, filed Dec. 7, 2000, entitled "Methods For Open Access And Secured Data Objects"
- U.S. Patent No. 5,822,432, issued October 13, 1998, entitled "Method for Human Assisted Random Key Generation ...";
- 
- U.S. Patent No. 5,905,800, issued May 18, 1999, entitled "Method & System for Digital Watermarking";
- U.S. Patent No. 5,613,004, issued March 18, 1997, entitled "Steganographic Method and Device";
- U.S. Patent No. 5,687,236, issued November 11, 1997, entitled "Steganographic Method and Device";
- U.S. Patent No. 5,745,569, issued April 28, 1998, entitled "Method for Stega-Protection of Computer Code";
- U.S. Patent No. 6,078,664, issued June 20, 2000, entitled "Z-Transform Implementation of Digital Watermarks";
- U.S. Patent No. 5,428,606, issued June 27, 1995, entitled "Digital Commodities Exchange";
- U.S. Patent No. 5,539,735, issued July 23, 1996, entitled "Digital Information Commodities Exchange";
- U.S. Patent No. 5,889,868, issued July 2, 1996, entitled "Optimization Methods for the Insertion, Protection and Detection...";
- U.S. Patent No. 6,522,767, February 18, 2003, entitled "Optimization Methods for the Insertion, Protection and Detection...";



PTO/SB/08A (08-03)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 5

**Complete if Known**

Application Number	09/545,589
Filing Date	April 7, 2000
First Named Inventor	Scott A. MOSKOWITZ
Art Unit	2132
Examiner Name	Benjamin E. Lanier
Attorney Docket Number	066603.0123 (80410.0006)

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 4,038,596	07-26-1977	Lee	
		US- 4,200,770	04-29-1980	Hellman, et al.	
		US- 4,218,582	08-19-1980	Hellman, et al.	
		US- 4,405,829	09-20-1983	Rivest, et al.	
		US- 4,424,414	01-03-1984	Hellman, et al.	
		US- 4,748,668	05-31-1988	Shamir, et al.	
		US- 4,789,928	12-06-1988	Fujisaki	
		US- 4,908,873	03-13-1990	Philibert, et al.	
		US- 4,979,210	12-18-1990	Nagata, et al.	
		US- 4,980,782	12-25-1990	Ginkel	
		US- 5,073,925	12-17-1991	Nagata, et al.	
		US- 5,243,515	09-07-1993	Lee	
		US- 5,287,407	02-15-1994	Holmes	
		US- 5,319,735	06-07-1994	Preuss, et al.	
		US- 5,365,586	11-15-1994	Indeck, et al.	
		US- 5,379,345	01-03-1995	Greenberg	
		US- 5,394,324	02-28-1995	Clearwater	
		US- 5,408,505	04-18-1995	Indeck, et al.	
		US- 5,412,718	05-02-1995	Narasimhalu, et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

2

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		Number-Kind Code <sup>2</sup> (if known)			
		US- 5,428,606	06-27-1995	Moskowitz	
		US- 5,487,168	01-23-1996	Geiner, et al.	
		US- 5,493,677	02-20-1996	Balogh, et al.	
		US- 5,530,759	06-25-1996	Braudaway, et al.	
		US- 5,568,570	10-22-1996	Rabbani	
		US- 5,606,609	02-25-1997	Houser, et al.	
		US- 5,613,004	03-18-1997	Cooperman, et al.	
		US- 5,617,119	04-01-1997	Briggs, et al.	
		US- 5,636,292	06-03-1997	Rhoads	
		US- 5,640,569	06-17-1997	Miller, et al.	
		US- 5,659,726	08-19-1997	Sandford, II, et al.	
		US- 5,664,018	09-02-1997	Leighton	
		US- 5,687,236	11-11-1997	Moskowitz, et al.	
		US- 5,734,752	03-31-1998	Knox	
		US- 5,745,569	04-28-1998	Moskowitz, et al.	
		US-			
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### FOREIGN PATENT DOCUMENTS

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		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

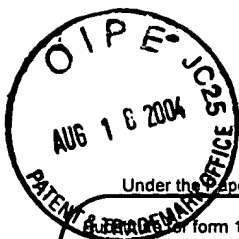
Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Sheet 3 of 5	

**NON PATENT LITERATURE DOCUMENTS**

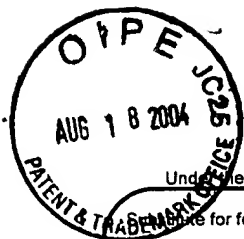
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		SMITH, et al., "Modulation and Information Hiding in Images," Springer Verlag, First International Workshop, Cambridge, U.K., 30 May to 1 June, 1996, pp. 207-227.	
		KUTTER, et al., "Digital Signature of Color Images Using Amplitude Modulation," SPIE-EI97, Vol. 3022, pp. 518-527.	
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(Use as many sheets as necessary)

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Application Number	09/545,589
Filing Date	April 7, 2000
First Named Inventor	Scott A. MOSKOWITZ
Art Unit	2132
Examiner Name	Benjamin E. Lanier
Attorney Docket Number	066603.0123 (80410.0006)

Sheet 4 of 5

**NON PATENT LITERATURE DOCUMENTS**

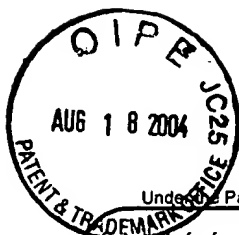
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		LANGELAAR, et al., "Copy Protection for Multimedia Data based on Labeling Techniques," Dept. of Electrical Engineering, Information Theory Group, Delft Univ. of Tech., Delft, The Netherlands, July 1996, 9 pages.	
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		SCHNEIER, B., "Applied Cryptography," John Wiley & Sons, Inc., New York, 1994, particularly the following sections: 4.1 Subliminal Channel, pp. 66-68, 16.6 Subliminal Channel, pp 387-392, Ch. 1 pp 1-16, Ch. 2 pp 17-41, Ch. 3 pp 42-57, Ch. 12.1 pp 273-275, Ch 14.1 pp 321-324.	
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		LOW, S.H., "Equilibrium Allocation and Pricing of Variable Resources Among User-Suppliers (1988). <a href="http://citeseer.nj.nec.com/366503.html">http://citeseer.nj.nec.com/366503.html</a> .	

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